

AMENDMENT TO THE ABSTRACT

Cancel the pending Abstract and substitute the following new Abstract therefor:

ABSTRACT

A computer-based system for trading financial instruments alerts a computer operated by a financial advisor at points where a client interacts with the system. Specifically, in response to the client entering an order to trade a financial instrument, a first alert is transmitted in real-time to the financial advisor's computer including information pertaining to the trade. In the case of validation, in response to the first alert, the user of the financial advisor computer can, in real-time, take action regarding the validated trade prior to execution of the trade. On the other hand, in the case of non-validation, a second alert is transmitted to the financial advisor's computer, and the user of the financial advisor computer can, in real-time, again take action regarding the non-validated trade prior to execution of the trade.